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# Indiana Department of Transportation

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## Alternative Architectural and Engineering Firm Selection Process for Local Public Agencies

\*This process is an alternative to following INDOT's selection process.



March 30, 2007

# Table of Contents

## Table of Contents

Overview .....	3
Advertisement .....	7
Evaluation and Ranking .....	10
Confirmation of DBE Participation.....	15
Scope and Negotiating Fees.....	17
Notify INDOT and Proceed with Approval .....	19
Appendix A – Sample INDOT’s Selection Rating Sheet.....	21
Appendix B – Sample LPA Selection Rating Sheet .....	22
Appendix C – Request for Proposal (RFP) Scoring Tabulation .....	23
Appendix D – Sample Affirmative Action Certification.....	24
Appendix E – Responsibility Chart.....	25
Appendix F – High Level Process Flow.....	26
Appendix G – Outreach Session Participants .....	27

# Alternative Architectural and Engineering Firm Selection Process for Local Public Agencies

## Overview

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### Purpose

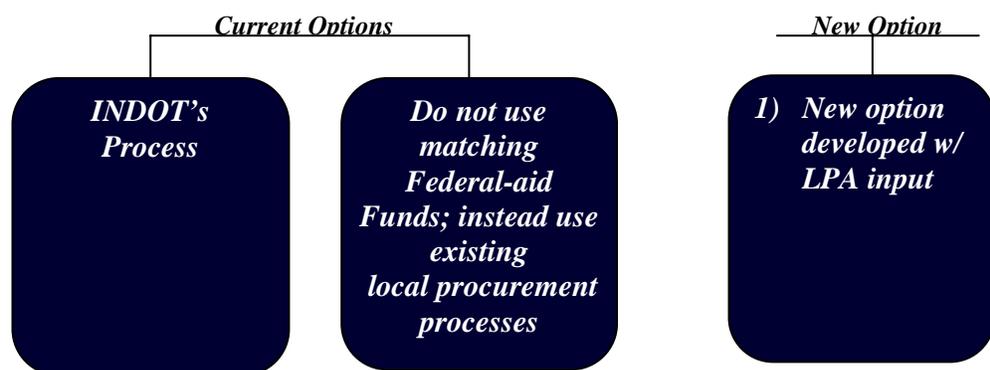
INDOT has collaborated with representatives from Local Public Agencies (LPAs) in order to share ideas and create options to be used in the development of an improved process. This process is for selecting architectural and engineering (A/E) firms when matching Federal-aid funds are used for project development activities such as environmental analysis, design, right-of-way engineering, construction engineering, and bridge inspection.

Currently, there are two options for selecting an A/E firm:

- Use INDOT's existing process
- Use existing local procurement processes to engage an A/E firm. This would be in lieu of receiving Federal-aid funds for design and development for all engineering and construction inspection costs, and prevents these funds from being used as a match credit towards federally funded construction.

Occasionally the existing options do not consider some specific needs of the LPA. Therefore, outreach sessions with LPA representatives were used to develop the groundwork for options providing more flexibility to meet the LPA's needs.

**Figure 1 – LPA Options for Selecting an A/E Firm**



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## Overview, Continued

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### **Purpose,** (continued)

After this collaboration, the two existing options remain and a third has been added to create greater flexibility for LPAs while maintaining a process that is effective and accountable to our customers. Options for the consultant selection process are presented in this document, as discussed in the three Outreach Meetings at the Indiana Historical Society on December 5, 7, and 12, 2006. Multiple options and decision points were identified by representatives from LPAs from all areas of the State. These representatives included county commissioners, mayors, A/E firms, MPOs, city engineers, transportation planners, and executive directors of stakeholder organizations.

In addition to the existing consultant selection processes, this document articulates an alternate process by which LPAs involved in a transportation project can select A/E firms for services when federal funds are involved. This process covers procurement of A/E services directly related to a construction project in areas such as Transportation Enhancement (TE), road, and bridge projects.

If no Federal dollars are used to pay for A/E services or the cost of services will not be used as a match credit for federal project construction funds, this document does NOT apply, even though Federal dollars are used for the construction itself.

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### **Background**

The Code of Federal Regulations Part 23 Section 172 (23CFR172) outlines the requirement for administration of A/E contracts, including procurement of services, on transportation projects using federal funds. It refers to the Brooks Act, which is the Federal law requiring procurement of A/E services be through a “Qualification Based Selection” (QBS) process (Title 40 United States Code, Chapter 10, Subchapter VI, paragraphs 541-544).

If the consultant services are to be paid with either Federal funds, or non-Federal funds that are to be credited as a match against Federal funds for construction of the project, the LPA must follow these requirements.

In like manner, federal regulations require the following of State DOTs: “Recipients of Federal funds shall ensure that their sub-recipients comply with this part.” This asserts that the State must ensure that LPAs follow the same Federal requirements as the State. Thus, LPAs are subject to the same procurement requirements as the State DOT.

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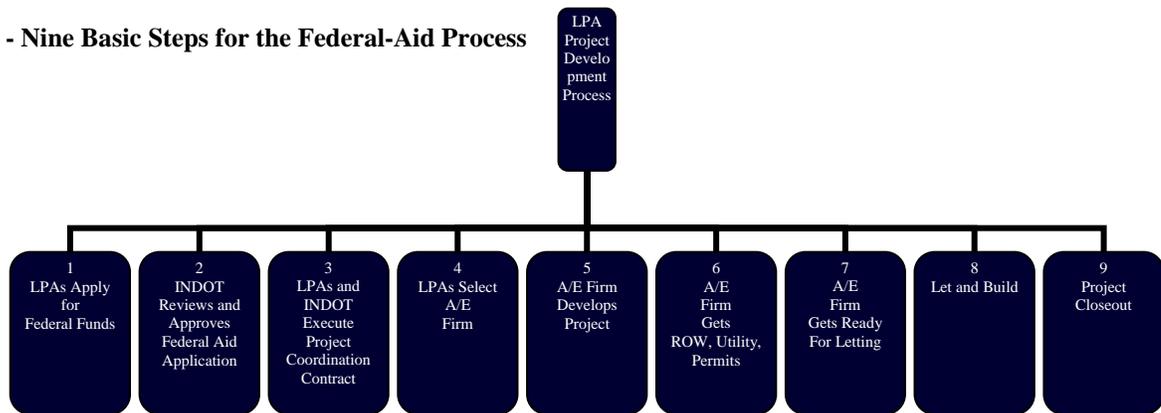
## Overview, Continued

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**LPA Process** The nine basic steps an LPA must complete in order to use Federal Aid for local projects include the steps in the Chart Figure 2 - Nine Basic Steps for the Federal-Aid Process. Step four is detailed in this document. More detail regarding the requirements for the other steps can be obtained from INDOT or FHWA.

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**Figure 2 - Nine Basic Steps for the Federal-Aid Process**



### Nine LPA Steps

- Step 1—LPA applies by submitting a Federal-aid Application form which specifies scope, estimated cost, justification, and type of project. INDOT plans to update and modernize this form in the near future.
- Step 2—MPO (Groups I and II) approves project or INDOT reviews and approves projects outside of MPO responsibility.
  - a. District Program Managers group and rank similar projects.
  - b. Central Office group and ranks similar projects from across the state.
  - c. Projects are matched against budgets.
- Step 3—LPA & INDOT execute ‘Project Coordination Contract.’
  - a. This Project Coordination Contract is similar to the preconstruction contracts used in the past for LPA projects. Though implementation of the new coordination contract is more work-intensive at the beginning, it eliminates work and bureaucratic difficulties over time.
  - b. There will be amendments to the Project Coordination Contract as required throughout the life of the project.
- Step 4— A/E firm is selected.
- Step 5— A/E firm develops project. This may include environmental evaluation and design.

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## Overview, Continued

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### Nine LPA Steps (continued)

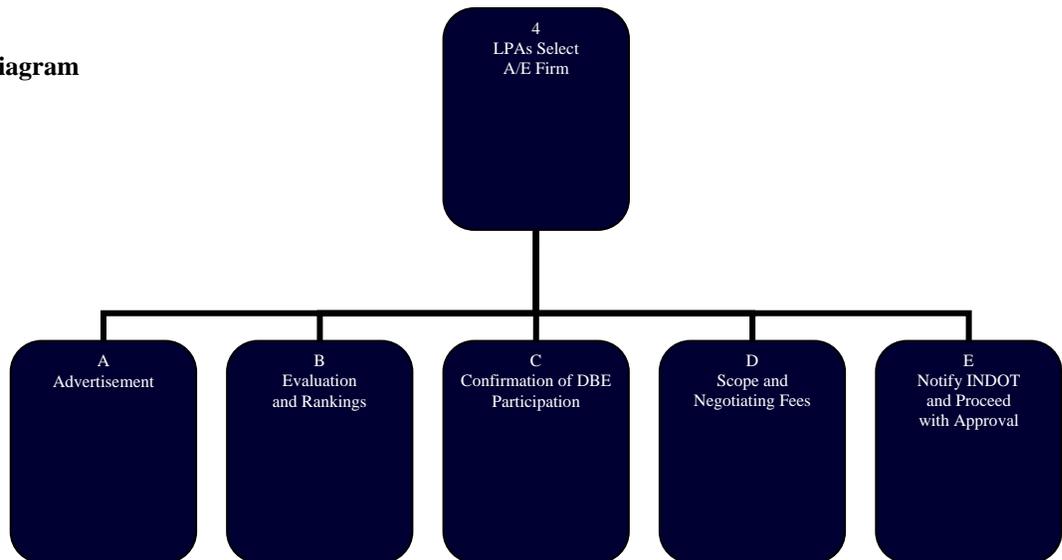
- Step 6— A/E firm obtains right-of-way, utility, and permits.
  - Step 7— A/E firm gets plans, specifications and estimate (PS&E) ready for letting.
  - Step 8—Project is let by INDOT and construction begins.
  - Step 9—Project closeout.
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### Selecting an A/E Firm

Step 4 is the focus of this documentation. It includes the selection of A/E services needed by LPAs throughout the phases of a project where Federal funds are used as a match or where A/E services will be used as match credit. The responsibilities of the LPA and INDOT are outlined in the chart in Appendix E.

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Figure 3 - Step 4 Diagram



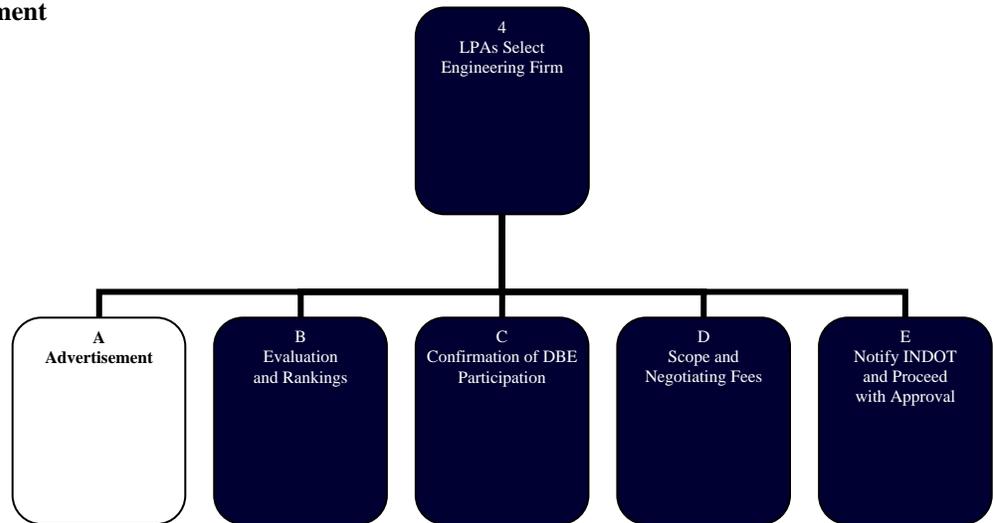
These five activities include:

- Advertisement
  - Evaluation and Rankings
  - Confirmation of DBE Participation
  - Scoping and Negotiations
  - Notification to INDOT and Proceed with Approval
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# Advertisement

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Figure 4 - Advertisement



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## Overview

The first step (Step A) advertisement requires that the LPA must publicly announce all requirements for A/E services. INDOT is prepared to assist any LPA through this step as requested.

There are seven components to the advertisement; each component is discussed in detail in the following paragraphs.

1. Project description and scope of services
2. Qualification requirements
3. Selection criteria with specific rating factors and their weighting
4. Due date
5. Point of contact
6. DBE goal
7. Posting of the advertisement

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## Project Description and Scope of Services

The project description includes the geographical location of the project, what type of project it is, and the projected timeframe of the project. The scope of services that define the elements of service covered by the selection should also be included. If the selection is to cover construction inspection, it must be specified, otherwise, a subsequent selection shall be required. Local INDOT program managers are available to assist any LPA with this step of the process.

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## Advertisement, Continued

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**On-Call Options**

An On-Call option refers to contracting select A/E firms to provide future services on an as needed basis. LPAs using consultant services on a regular basis could select and contract with firms using on-call agreements and assign work as needed. On-Call contracts must still be selected using the procedures defined in this document and DBE goals would have to be set by INDOT prior to the advertisement. The duration of On-call contracts must be negotiated with INDOT.

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**Qualification Requirements**

The LPA must specify the qualification requirements in the advertisement. It should clearly identify the skill categories needed in the scope of services and whether INDOT prequalification is to be required. Refer to the Prequalification element under Evaluation and Ranking for more specific information.

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**DBE Goal**

Each advertisement must have a stated DBE goal. DBE stands for Disadvantaged Business Enterprise. INDOT is the only entity in the State with a Federal Highway Administration (FHWA) approved DBE program. As such, INDOT maintains responsibility for setting all DBE goals and may not delegate any portion of the program administration to the LPA. Therefore, when applying for Federal-aid funds for design, the LPA shall contact INDOT's Equal Opportunity Division (EOD) to determine the appropriate DBE goal prior to advertisement.

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**Selection Criteria**

The criteria by which A/E firms will be evaluated must be listed in the advertisement. This includes the scale and weighting of each of the criteria. If pre-screening will be used, separate criteria and weights should be listed. See following pages for details.

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**Due Date**

Each advertisement must contain the due date for the letters of interest (LOI) from the A/E firms. This due date should be based on the complexity of the project and may vary from a minimum of two weeks to a maximum of thirty days.

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**Point of Contact**

Each advertisement must provide the point of contact for proposal submission. The LPA may give instructions as to length and content requirements for the response.

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## Advertisement, Continued

**Posting of Advertisement**

Notices must be made widely available to in-state and out-of-state consultants. The advertisement may be sent directly to all A/E firms who have given written statements that they want such notice, as long as it does not provide information that would give any consultant an unfair advantage. The discussions in the INDOT Outreach meetings resulted in several options being offered. See Table 1- Posting of Advertisement Options below. Providing INDOT with a copy of the advertisement or a link to a website will satisfy this requirement.

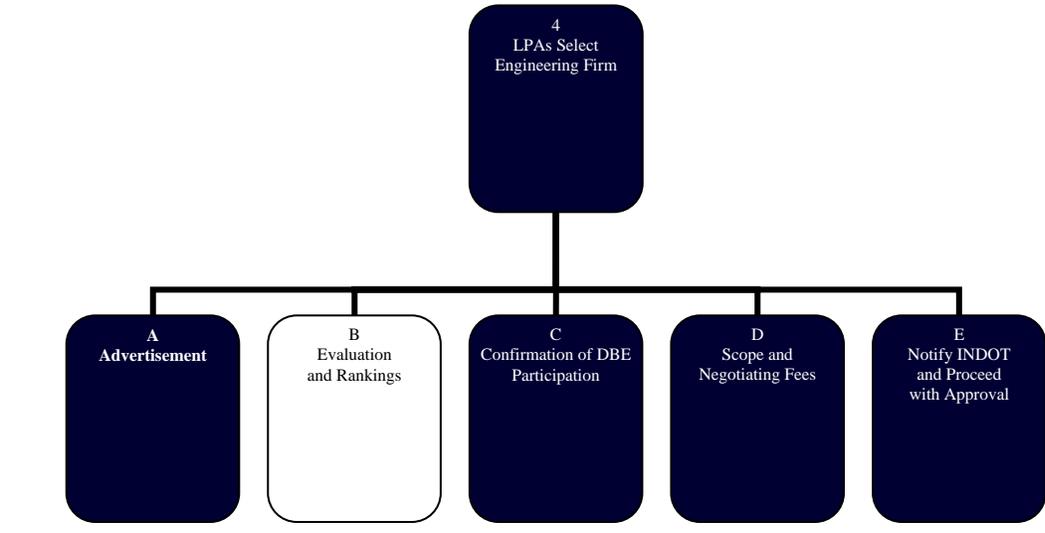
**Table 1- Posting of Advertisement Options**

<b>Option A</b>	<b>Option B</b>	<b>Option C</b>
Post advertisement on the INDOT website; INDOT sends e-mail notification to all pre-qualified firms.	Post advertisement on LPA and / or Local Transportation Assistance Program (LTAP) or any other website(s); INDOT shall establish a link from the INDOT website to the posting site prior to the start of the advertisement period.	Post in newspapers and/or publications of regional distribution and send notices to interested firms. Must also include a URL that is linked to the INDOT website prior to the start of the advertisement period.

# Evaluation and Ranking

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Figure 5 - Evaluation and Ranking



## Overview

Evaluation and ranking begins immediately following the receipt of letters of interest and the passage of the due date. The letters of interest cannot contain pricing information, but will need to contain all the information as specified in the advertisement.

Firms must be evaluated and ranked on their qualifications and not the cost or any other considerations not advertised or prohibited by QBS.

The components of evaluation and ranking are included in the following list:

1. Prequalification
2. Selection Criteria
3. Pre-Screening (optional)
4. Interviews (optional)
5. Scoring Sheet
6. Scoring team

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## Evaluation and Ranking, Continued

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- 1. Prequalification** Prequalification refers to a process whereby A/E firms are certified to do business with INDOT. The certification process includes verification that the firm is an entity legally eligible to do business with the State, that the firm holds the required professional licenses to perform services in specified categories, that the firm holds minimum levels of liability insurance coverage and that the firm has an accounting system that will properly segregate expenses for determination of eligible costs. Any A/E firm may apply for prequalification at any time. The prequalification list is posted on the following INDOT website. <http://www.in.gov/dot/business/consultants/index.html>.
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**Options** To use Federal-aid funds, the firm selected must either be prequalified by INDOT, or must have its accounting system and a provisional overhead rate approved by INDOT, prior to A/E firm negotiations. This will require submittal of a self-certified or CPA certified prequalification financial package or a cognizant agency audit. A final overhead or indirect cost rate will be required prior to project close-out for cost-plus fixed fee type contracts.

Requiring an INDOT prequalified firm will help to ensure that the LPA is getting letters of interest from firms that have demonstrated technical and financial preparedness to proceed with a contract using federal-aid reimbursable services.

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**Table 2- Prequalification Options**

<b>Option 1</b>	<b>Option 2</b>
LPA requires INDOT prequalification.	LPA selects a non-INDOT pre-qualified A/E firm. It is understood that the firm will have to submit a prequalification financial package in order to have an overhead rate established and to verify that the firm has an auditable accounting system appropriate to the compensation mechanism to be used.

- 2. Selection Criteria** The LPA has two options for identifying selection criteria. One option is to use the INDOT criteria worksheet and process. Another option would be to select criteria from an INDOT pre-approved list that includes the INDOT criteria as well as additional options. The LPA must use four of the INDOT
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## Evaluation and Ranking, Continued

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### 2. Selection Criteria (continued)

core criteria. LPAs may continually submit additional criteria to the INDOT menu of criteria for review and inclusion. In either case, the LPA has the option of changing scoring and weighting to meet the needs of a specific project with INDOT's concurrence. The scoring criteria and weighting must be included in the request for letters of interest. Refer to Appendix A for a copy of INDOT's scoring sheet and Appendix B for a Sample LPA scoring sheet.

- Federal regulations delineate two criteria that may not be used for scoring: cost and the DBE goal (although a good faith effort must be demonstrated prior to negotiations). In addition, location cannot account for more than 5% of the total weighting.

### List of INDOT Criteria

LPAs may use INDOT's categories:

- **\*Historical performance**
- **\*Technical expertise—unique resources and equipment that yield a relevant added value or efficiency to the deliverable**
- **\*Project manager - rating of predicted ability to manage the project, based on experience in size, complexity, type, subs, and documentation skills**
- **\*Approach to project - understanding and innovation that gives INDOT or the LPA cost and / or time savings**
- Location – must be less than 5% of total weighting and cannot be based on political boundaries
- Capacity of team - evaluation of the team's personnel and equipment to perform the project on time
- Outstanding agreement disputes

LPA's must include at least three of the four core criteria (shown with an \* above) in pre-screening activities. All evaluations for final selection must include all four of the core criteria.

### Additional Criteria

- Engineering firm must comply with proposal instructions
- Volume – work under contract of engineering firm
- Interview information to facilitate final scoring

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## Evaluation and Ranking, Continued

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### 3. Pre-Screening (optional)

At times, LPA's receive a large number of LOIs. Due to this, the LPA may choose to conduct a pre-screening process. The LPA must choose at least three of the four core criteria, rather than the whole list, and pre-screen response letters on the prioritized criteria. This type of pre-screening is sometimes used to identify the pool of best qualified firms to invite for interviews. After pre-screening the letters of interest, the LPA would continue the evaluation process as normal.

If pre-screening is to be used, the LPA must follow the guidelines listed below:

- The advertisement must include the criteria and weights for pre-screening
- Criteria for the pre-screening must come from the list of criteria maintained by INDOT
- The advertisement must state how the pre-screening is to be accomplished
- Scorers for the pre-screening are selected by the agency head.
- Scorers must sign and date the pre-screening scoring sheet
- The results of the pre-screening must include no less than three A/E firms

### 4. Interviews (optional)

The LPA can conduct interviews as a part of the evaluation and ranking process. LPAs can use interviews to gather additional information for evaluating respondents and should only consider using interviews for complex or larger scope projects.

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### Scoring Sheet

The agency representative shall tabulate the results of the scoring of all firms and rank the firms in order from highest to lowest rank, by score or by ordinals (recommended), and approve the ranking by signature. Refer to Appendix C for an example tabulation form as used by INDOT.

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### Scoring Team

It is recommended that a team of scorers be used; however a single technically qualified agency representative may score letters of interest. Members of the team must be knowledgeable of the project and scoring process. The number of individuals on a team can be different for each project. Scorers shall use a scoring template that includes specific rating factors and the weight of each factor as advertised in the RFP.

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## Evaluation and Ranking, Continued

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**Scoring Team,**  
(continued)

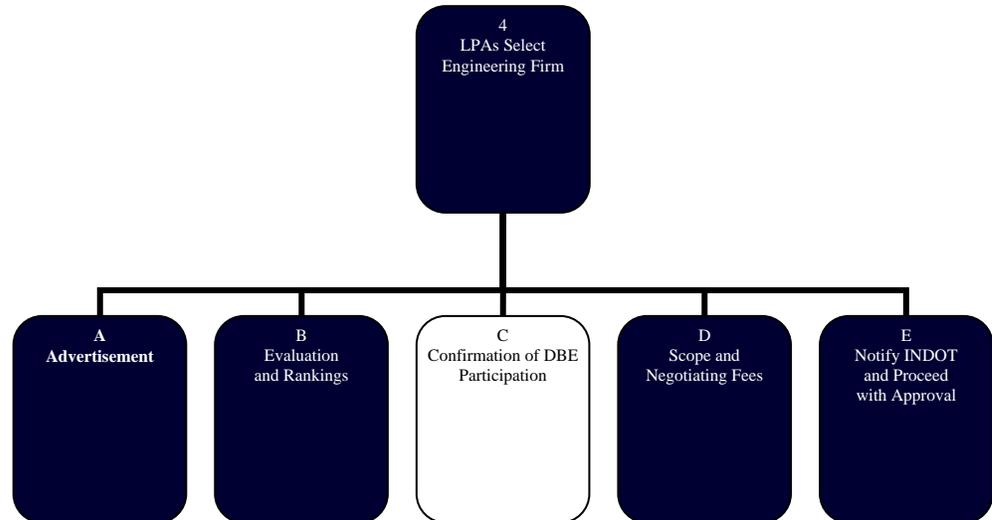
Evaluation factors must be applied to all proposers in a uniform, fair and consistent manner. The evaluation factors must result in a scoring and ranking of firms in order of priority. The selecting official must select the highest ranked firm based on scoring. A final summary tabulation sheet must be signed by the agency representative.

The signed score sheets used by individual scorers must be maintained in the LPA files until the project is completed and closed-out.

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# Confirmation of DBE Participation

Figure 6 - Confirmation of DBE Participation



## Confirmation of DBE Participation

Subsequent to selection of the highest ranked firms and prior to entering into negotiations, the adequacy of A/E DBE participation plan must be approved by INDOT. An example form for Affirmative Action Certification may be found in Appendix C. The LPA using matching Federal-aid funds for design, development, and construction inspection will need to comply with the INDOT's DBE program, including contacting INDOT to determine if the A/E attained the goal with DBE firms certified in the State of Indiana to perform the contemplated subcontracting work.

The A/E firm must submit the DBE form with its letter of interest. If the A/E firm fails to submit a plan for achieving the DBE goal with identified DBE firms certified in the State of Indiana, INDOT will determine if A/E firm used adequate good faith efforts to achieve the goal but was unsuccessful. The A/E firm will have three business days to provide INDOT with documentation evidencing its good faith efforts to achieve the DBE goal, including copies of letters sent, follow-up phone call logs, all race-neutral DBE use, etc. The A/E must confirm that the DBE firms included in the plan are certified in the State of Indiana by examining the INDOT website listing of DBE firms. INDOT will examine and evaluate the A/E's documented good faith efforts and reach a determination as to their sufficiency. Should INDOT determine that the A/E firm neither met the DBE goal nor used adequate good faith efforts, it shall notify the LPA that negotiations may not proceed with that A/E firm. The A/E firm shall have a right to an informal appeal before the Chief Legal

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## Confirmation of DBE Participation, Continued

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**Confirmation of  
DBE  
Participation,  
(continued)**

Counsel or his designee who shall make a recommendation to the Commissioner. The Commissioner's determination concerning achievement of the goal or good faith efforts shall be the final decision of the Department and is binding upon the LPA.

The LPA must also take affirmative steps to assure that DBE consultants are utilized to the maximum extent possible. Such steps include soliciting DBE firms and, when feasible, organizing the project schedule and task requirements to encourage participation by DBE firms.

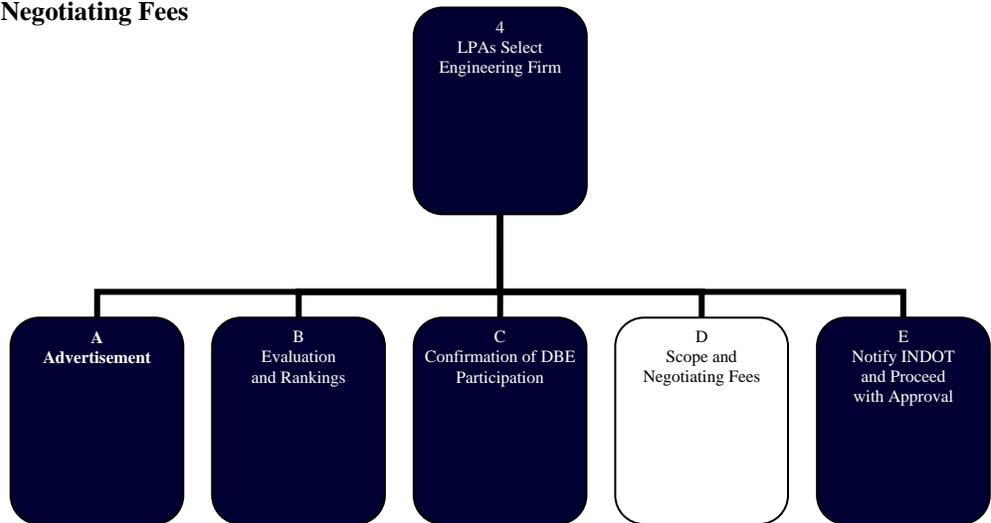
The A/E firm has the responsibility for using the DBE firms previously identified and approved as certified to perform specific work. If a DBE subcontractor is unwilling or unable to perform, the A/E firm must notify the LPA and INDOT Equal Opportunity Division (EOD) and request approval to replace that subconsultant with another DBE subconsultant. DBE efforts must be documented and verified; INDOT maintains responsibility for setting all contract DBE goals and evaluating good faith efforts made to attain these goals. INDOT and the LPA are also responsible for DBE program compliance. The LPA will need to contact the EOD by telephone, e-mail, facsimile or U.S. mail to gain DBE participation compliance information.

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# Scope and Negotiating Fees

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Figure 7 - Scope and Negotiating Fees



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## Overview

In the scope and negotiating fees step, the LPA has selected the top-ranked firm from the QBS process and confirmed the adequacy of its DBE participation. Now the LPA is ready to enter into discussions with the selected firm regarding the detailed scope of the project and to negotiate costs and fees for the project. The LPA may not negotiate overhead rates in the negotiation process. A lower rate may only be used if the consultant offers a lower rate.

Components of this step include the following items:

- Conduct scoping meetings
- Receive cost proposal
- Negotiate terms and conditions
- INDOT's interaction during this phase is optional and can consist of a variety of activities such as assisting in negotiations, clarifying scope, and providing general consulting and answering questions.

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## Scope and Negotiating Fees, Continued

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**Conduct Scoping Meetings**

The LPA shall meet with the top-ranked A/E firm to discuss and review scope. Optionally, INDOT is willing and prepared to assist with these discussions

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**Receive Cost Proposal**

The LPA shall negotiate an agreement with the top-ranked A/E firm. This agreement would include cost, scope, and schedule. INDOT is willing and prepared to assist with these discussions if requested.

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**Negotiate Terms and Conditions**

If the LPA and the highest ranked A/E firm cannot come to a negotiated agreement, the next ranked A/E firm is notified and the LPA reengages in negotiation with the next ranked firm.

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**INDOT Interaction**

It is strongly recommended that the LPA take advantage of INDOT's assistance during this phase. There are, however, two options for INDOT interaction with the LPA.

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**Table 3 - Negotiation Options**

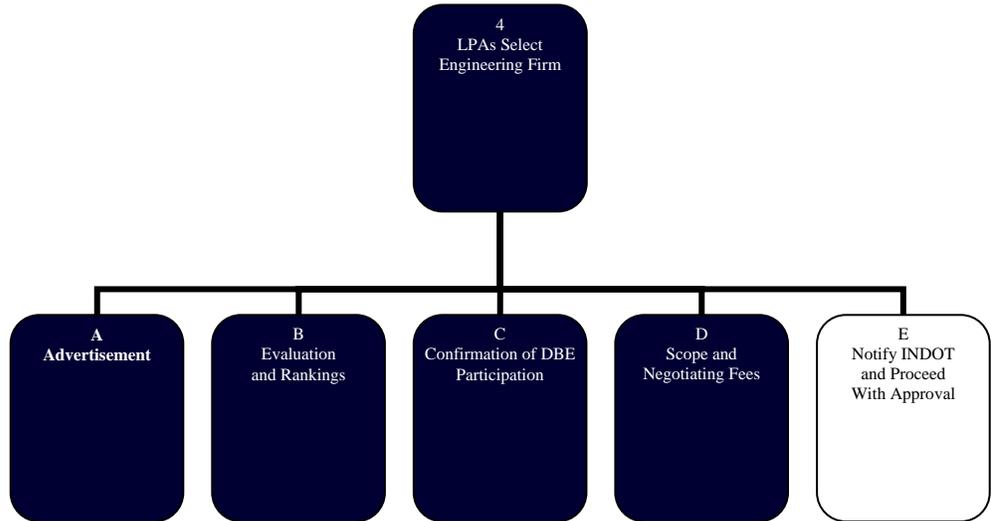
<b>A</b>	<b>B</b>
The LPA conducts negotiations alone following INDOT and Federal guidelines. INDOT will review the cost and terms to verify guideline compliance and price reasonableness.	INDOT LPA program managers assist the LPA with negotiations as requested.

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# Notify INDOT and Proceed with Approval

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Figure 8 - Notify INDOT and Proceed with Approval



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## Overview

To notify INDOT and proceed with approval is the final step in the selection of an A/E firm for Transportation Enhancement (TE), road, and bridge projects using Federal funds as a match for A/E costs in the design phase. There are four components of this final step:

- Collection of documentation
- Notification to INDOT
- INDOT reviews, requests Federal authorization of the project. If costs will be used as a match credit, a federal advanced construction project will be established with a zero dollar amount.
- INDOT's sending of a 'Notice to Proceed' letter

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## Notify INDOT and Proceed with Approval, Continued

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### **Collection of Documentation**

So that the LPA can respond quickly and accurately to disputes with consultants, internal and external audits, the State's fiscal control agencies, the Legislature and the public, it is critical to keep thorough and accurate records. The LPA shall collect and gather documentation to give to INDOT for approval to proceed. INDOT will provide a checklist of all needed documents.

The following lists are examples of the pertinent documents:

*Documents to be gathered by INDOT:*

- DBE goal
- Copy of the Project Coordination Agreement between the LPA and the INDOT
- Federal-aid Application form

*Documents to be provided by the LPA:*

- Scoring tabulation sheet with signature of agency representative
- Copy of advertisement
- Copy of the contract between the LPA and the A/E firm

All other documents must be maintained by the LPA through the life of the project, including the individual signed score sheets.

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### **Notification to INDOT**

The LPA sets up a meeting with INDOT. At this meeting, INDOT will review the documents for completeness and compliance. INDOT will then request approval of Federal funds.

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### **INDOT Sends 'Notice to Proceed' Letter**

Upon approval, INDOT sends the LPA the Notice to Proceed.

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# Appendix A – Sample INDOT’s Selection Rating Sheet

Selection Rating for RFP-                     , Item No.     

Consultant Name: \_\_\_\_\_

Services Description: \_\_\_\_\_

Evaluation Criteria to be Rated by Scorers					
Category	Scoring Criteria	Scale	Score	Weight	Weighted Score
Capacity of Team to do Work	<b>Evaluation of the team's personnel and equipment to perform the project on time.</b>				
	Availability of more than adequate capacity that results in <b>added value</b> to INDOT.	1		20	0
	Adequate capacity to meet the schedule.	0			
Insufficient available capacity to meet the schedule.	-1				
Team's Demonstrated Qualifications	<b>Technical expertise: Unique Resources that yield a relevant added value or efficiency to the deliverable.</b>			15	0
	Demonstrated outstanding expertise and resources identified for req'd services for value added benefit.	2			
	Demonstrated high level of expertise and resources identified for req'd services for value added benefit.	1			
	Expertise and resources at appropriate level.	0			
	Insufficient expertise and/or resources.	-3			
Project Manager	<b>Predicted ability to manage the project, based on: experience in size, complexity, type, subs, documentation skills.</b>			10	0
	Demonstrated outstanding experience in similar type and complexity.	2			
	Demonstrated high level of experience in similar type and complexity.	1			
	Experience in similar type and complexity shown in resume <sup>1</sup> .	0			
	Experience in different type or lower complexity.	-1			
	Insufficient experience.	-3			
Approach to Project	<b>Project Understanding and Innovation that gives INDOT cost and/or time savings.</b>			15	0
	High level of understanding and viable inovative ideas proposed.	2			
	High level of understanding of the project.	1			
	Basic understanding of the project.	0			
	Lack of project understanding.	-3			
				<b>Weighted Sub-Total</b>	<b>0</b>

The scores assigned above represent my best judgement of the consultant's abilities for the rating categories. Signed: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Date: \_\_\_\_\_

Evaluation Ratings to be Assigned from Office of Contracts Data Sources					
Category	Scoring Criteria	Scale	Score	Weight	Weighted Score
Disputes	<b>Outstanding Agreement Disputes.</b>			20	0
	No outstanding unresolved agreement disputes > 3 mos. old.	0			
	Outstanding unresolved agreement disputes more than 3 mos. old.	-3			
Past Performance	<b>Performance evaluation score averages from historical performance data.</b>			12	0
	Quality score for similar work from performance database.				
	Schedule score from performance database.				
	Responsiveness score from performance database.				
	*Budget score from performance database.		N/A		
	*Constructability score from performance database.		N/A		
Location	<b>Location of assigned staff office relative to project.</b>			5	0
	Within 50 mi.	1			
	51 to 150 mi.	0			
	151 to 500 mi.	-1			
	Greater than 500 mi.	-2			
	For 100% state funded agreements, non-Indiana firms.	-3			
				<b>Weighted Sub-Total</b>	<b>0</b>

For categories that are not relevant to the particular item being evaluated leave the category score as N/A. This is to be as documented in the RFP.

\* Only applicable for transportation project development contracts. Data not available yet.

**Weighted Total** 0

# Appendix B – Sample LPA Selection Rating Sheet

Selection Rating for RFP- No. \_\_\_\_\_, Item No. \_\_\_\_

Consultant Name: \_\_\_\_\_

Services Description: \_\_\_\_\_

Evaluation Criteria to be Rated by Scorers					
Category	Scoring Criteria	Scale	Score	Weight	Weighted Score
Capacity of Team to do Work	Evaluation of the team's personnel and equipment to perform the project on time.				
	Availability of more than adequate capacity that results in added value to INDOT.				
	Adequate capacity to meet the schedule.				
	Insufficient available capacity to meet the schedule.				
Team's Demonstrated Qualifications	Technical expertise: Unique Resources that yield a relevant added value or efficiency to the deliverable.				
	Demonstrated outstanding expertise and resources identified for req'd services for value added benefit.				
	Demonstrated high level of expertise and resources identified for req'd services for value added benefit.				
	Expertise and resources at appropriate level.				
Project Manager	Predicted ability to manage the project, based on: experience in size, complexity, type, subs, documentation skills.				
	Demonstrated outstanding experience in similar type and complexity.				
	Demonstrated high level of experience in similar type and complexity.				
	Experience in similar type and complexity shown in resume'. Experience in different type or lower complexity. Insufficient experience.				
Approach to Project	Project Understanding and Innovation that gives INDOT cost and/or time savings.				
	High level of understanding and viable inovative ideas proposed.				
	High level of understanding of the project.				
	Basic understanding of the project. Lack of project understanding.				
Location (This score will be automated in the future.)	Location of assigned staff office relative to project.				
	Within 50 mi.				
	51 to 150 mi.				
	151 to 500 mi. Greater than 500 mi. (Maximum 5% overall weighting for location criteria.)				
<b>Weighted Sub-Total</b>					

The scores assigned above represent my best judgement of the consultant's abilities for the rating categories. Signed: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

# Appendix C – RFP Scoring Tabulation for RFP

RFP Scoring Tabulation for RFP: 07-01 Item No.: 1

Item Title: SR 29 Road Reconstruction No. of Firms Recommended to be selected 1

#	Paste Here Consultant Names	Paste Here Name 1	Rank	Paste Here Name 2	Rank	Paste Here Name 3	Rank	Paste Here Name 4	Rank	Paste Here Name 5	Rank	Rank Scores Total	Ranking
1	A Engineers, Inc.	80	1	70	2	80	1	80	1			5	1
2	E Architects & Engineers, Inc.	80	1	70	2	60	2	70	2			7	2
3	C and Associates, Inc.	70	3	80	1	60	2	60	3			9	3
4	B Consultants, Inc.	40	4	40	5	50	4	30	4			17	4
5	D Consulting Engineers, Inc.	30	5	50	4	40	5	30	4			18	5
6													
7													
8													
9													
10													

Scoring Team Leader Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

# Appendix D – Sample Affirmative Action Certification

Request for Proposals No. \_\_\_\_\_  
Item No. \_\_\_\_\_

## AFFIRMATIVE ACTION CERTIFICATION

I do hereby certify that it is the intention of my company to affirmatively seek out and consider DBEs certified in the State of Indiana, to participate as part of this proposal. (For listing of DBE certified firms, see [www.in.gov/dot/div/legal/DBE/dbe\\_list.xls](http://www.in.gov/dot/div/legal/DBE/dbe_list.xls).)

I understand and agree that all subconsulting in connection with this proposal, whether undertaken prior to or subsequent to the notice to proceed, shall be in accordance with the requirements for the Disadvantaged Business Enterprise Program, included elsewhere in this RFP. I understand and agree that no subcontracting shall be approved or commenced until the Department of Transportation has reviewed and approved the affirmative actions taken by my company or me.

I understand that utilization of certified DBEs is in addition to all other equal employment requirements of this RFP.

I acknowledge that this certification is to be made an integral part of this proposal.

I understand and agree that the submission of a blank certification may cause the proposal to be rejected.

I hereby certify that contact has been made with the certified DBEs listed in this certification, and that, if my company becomes the CONSULTANT, the certified DBEs have tentatively agreed to perform the services listed below.

I understand that neither my company nor I will be penalized for amounts achieved over or under the amount shown for **voluntary** DBE utilization that exceeds the goal.

After contract award, any change to the firms listed in this Affirmative Action Certification under race/gender conscious must have prior approval by INDOT's Economic Opportunity Section, Central Office.

## SUBCONSULTANTS

### DBE SUBCONSULTANTS TO BE APPLIED TOWARD GOAL (RACE/GENDER CONSCIOUS)

<u>Certified DBE Name &amp; Address</u>	<u>Service Planned</u>	<u>Planned percentage to be paid to DBE</u>
---	------------------------	---

### DBE SUBCONSULTANTS TO BE USED BEYOND GOAL (RACE/GENDER CONSCIOUS)

<u>Certified DBE Name &amp; Address</u>	<u>Service Planned</u>	<u>Planned percentage to be paid to DBE</u>
---	------------------------	---

Total Dollar Amount Credited toward DBE Goal (Race/Gender Conscious): \_\_\_\_\_

Total Dollar Amount of Voluntary DBE Work Anticipated over DBE Goal (Race/Gender Neutral): \_\_\_\_\_

Name of Company: \_\_\_\_\_

By: \_\_\_\_\_ Date: \_\_\_\_\_

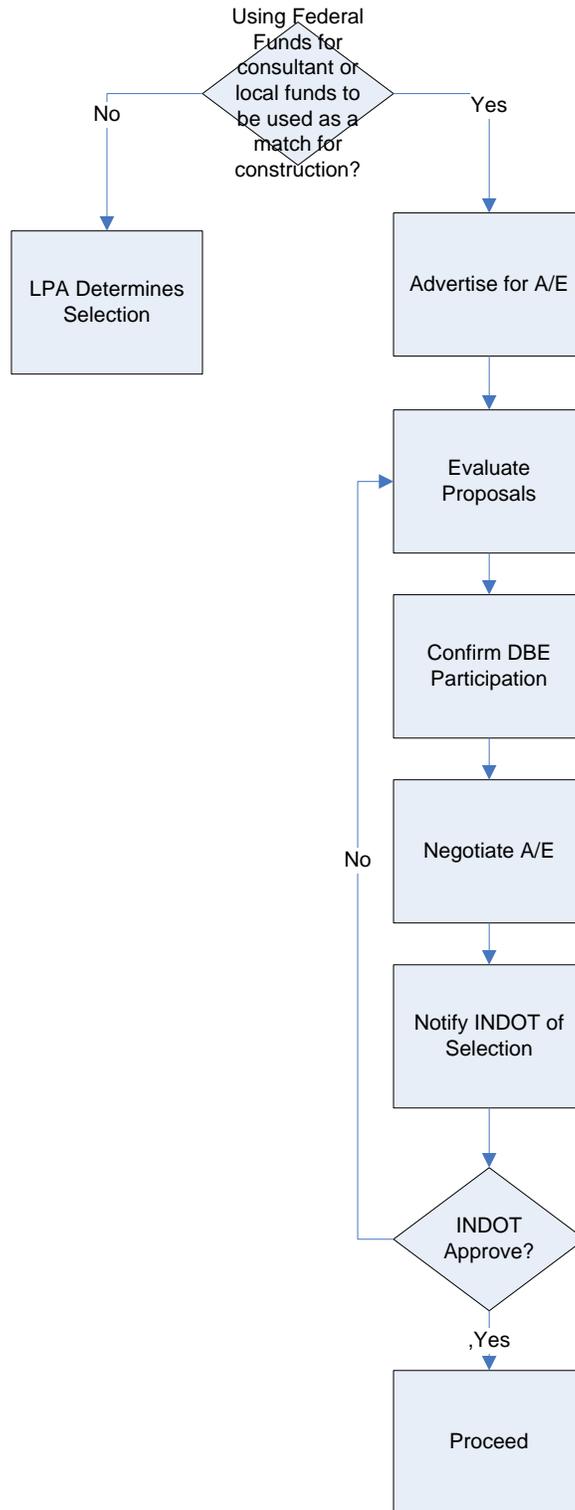
## Appendix E – Responsibility Chart

This chart defines the responsibilities of the LPA and INDOT

Primary Task	INDOT	LPA
Post Advertisement	INDOT shall assist as requested	X
Request DBE goal from INDOT	X	X
Receive Letters of Interest		X
Prescreen Letters of Interest <sup>1</sup>		X
Evaluate Letters of Interest based upon selected criteria		X
Select 3-4 firms for interviews for final selection		X
Select firm for negotiations		X
Confirm DBE Participation	X	
Enter into discussions regarding scope with selected firm	INDOT shall assist as requested	X
Enter into financial negotiations with selected firm. If an agreement cannot be reached, the LPA begins again with the second ranked firm.	INDOT shall assist as requested	X
Notify INDOT and proceed	X	X

<sup>1</sup> Optional step

# Appendix F – Draft High Level Process Flow



## Appendix G – Outreach Session Participants

Bill Williams

KD Benson

David Bottorf

John Beery

Steve Ruble

Bill Goffinet

Mike Harmless

John Weaver

Jeff Clanton

Mike Fitch

Pat Goodwin

Mark Doblou

Nancy Michael

Mark Ahearn

Fred Armstrong

Bill Haan

Mark Dobson

Brad Davis

Allen McFeaqrin

Greg Henneke

Kent Anderson

John Speidel

Andrew Fitzgerald

Jeanette Wilson

Corey Carr

Jim Turner

Brett N. Cating

Glen Morrow

Dick Hickman

Clara McCarty

Martha Kenley

Larry Loveall